

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): John Brixius

Serial No: 09/751,721

Examiner: Jagdish Patel

Filed: December 29, 2000

Group Art Unit: 3624

For: RESTRICTED SECURITIES PROCESSING

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

RESPONSE

I. The Examiner's Election Requirement

Claims 1-7, 9-18 and 20-23 were previously pending in the application. In the Restriction Requirement dated October 4, 2005, the Examiner states, "Restriction to one of the following inventions is required under 35 U.S.C. § 121...." (See, Office Action, page 2). In the Office Action, the Examiner has identified three groups of species:

Species A: (refer to Claims 1-7 and 9-11) A method for processing restricted securities trades wherein, documentation supportive of a trade is automatically generated and wherein the generated documents include at least a legal opinion indicating whether or not the trade restriction have been satisfied. An electronic signature to execute the document is then received

Species B: (refer to Claims 12-21) A method of interacting with a network access device in order to complete an online transaction which comprises receiving documentation related to the trade of a restricted security wherein the received documents include at least a legal opinion indicating whether or not the trade restriction have been satisfied and transmitting an electronic authorization to conduct the trade is then transmitted.

Species C: (refer to Claims 22-23) This species recite a computer signal embodied in a digital data stream. This feature is distinct feature of processing restricted securities not required an not recited in Species A and B.

II. Applicant's Species Election

Applicant elects the claims in Species A, claim 1-7 and 9-11, for prosecution on their merits in the above-referenced application. Applicant explicitly reserves the right to pursue claims in non-elected Species B and/or C in a divisional application(s) at a later time.

In the event that a telephone conference would facilitate examination of the application in any way, the Examiner is invited to contact the undersigned at the number provided. Although Applicant believes that no additional extensions of time are necessary, should the Commissioner deem further extensions necessary, such extension is hereby petitioned for and requested. Also, the Commissioner is hereby authorized to charge fees any fees which may be required to Deposit Account 03-1240, No. 17209-011.

Respectfully submitted,
Chadbourne & Parke LLP

Dated: March 3, 2006

By:



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